

Adopted: May 5, 2020

**ACADEMIC SENATE  
Of  
CALIFORNIA POLYTECHNIC STATE UNIVERSITY  
San Luis Obispo, CA**

**AS-893-20**

**RESOLUTION ON UNIVERSITY FACULTY PERSONNEL POLICIES  
CHAPTER 7: PERSONNEL ACTIONS ELIGIBILITY AND CRITERIA**

**Impact on Existing Policy: This resolution establishes the statement of policy about personnel actions eligibility and criteria. Its impact on existing policy is described in the attached report. <sup>i</sup>**

1 WHEREAS, The Academic Senate Faculty Affairs Committee is constructing a  
2 document entitled "University Faculty Personnel Policies" (UFPP) to  
3 house all university-level faculty personnel policies; and  
4

5 WHEREAS, AS-859-18 resolved that "The Academic Senate Faculty Affairs  
6 Committee construct UFPP by proposing university-level faculty  
7 personnel policies to the Senate in the form of chapters or portions of  
8 chapters of UFPP according to the procedures approved in AS-829-  
9 17"; and  
10

11 WHEREAS, AS-859-18 resolved that "By the end of Spring 2020 Colleges and  
12 other faculty units reorganize their faculty personnel policy  
13 documents to conform their documents to the chapter structure of  
14 UFPP"  
15

16 WHEREAS, The addition of policies on personnel action eligibility and criteria are  
17 the last policies to be moved from the old University Faculty  
18 Personnel Actions (UFPA) to UFPP; therefore be it  
19

20 RESOLVED: The policy document contained at the end of the attached report  
21 "Proposed Chapter of University Faculty Personnel Policies  
22 Document: CHAPTER 7: Personnel Actions Eligibility and Criteria" be  
23 established as Chapter 7: Personnel Actions Eligibility and Criteria of  
24 UFPP, and be it further  
25

26 RESOLVED: UFPA (2013) be removed from the UFPP Appendix  
27

28 RESOLVED: Colleges and the Library revise their personnel policy documents by  
29 the end of Spring 2020 to have chapter 7 of their documents cover  
30 personnel actions eligibility and criteria as per chapter 7 of UFPP.

Proposed by: Academic Senate Faculty Affairs Committee  
Date: April 7, 2020

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<sup>i</sup> (1) Describe how this resolution impacts existing policy on educational matters that affect the faculty. Examples include curricula, academic personnel policies, and academic standards.  
(2) Indicate if this resolution supersedes or rescinds current resolutions.  
(3) If there is no impact on existing policy, please indicate NONE.

**Proposed Chapter of University Faculty Personnel Policies Document:  
CHAPTER 7: Personnel Actions Eligibility and Criteria**

The Academic Senate Faculty Affairs Committee (FAC) is a standing Senate committee with representation from each college, the library and professional consultative services, Academic Affairs, and a student representative. FAC employs a streamlined process for Academic Senate approval of personnel policies. This process specifies the nature of consultation with faculty affected by proposed changes and provides a clear accounting of which policy documents have been superseded by the proposed change. It also allows the Senate Executive Committee to place non-controversial updates to personnel policies on the Senate consent agenda. Using the new process, **FAC has replaced the prior University Faculty Personnel Actions (UFPA) document piece by piece in constructing a new University Faculty Personnel Policies (UFPP) document.** FAC will employ the same process to update sections of the new UFPP on an as-needed basis.

The guiding principles in reforming the UFPA into the new UFPP are the following:

- **Clarify existing policies** that are common and already in place across the university.
- **Standardize procedures** for faculty evaluation at the university level.
- **Set baseline expectations and offer guiding principles** with directives to the colleges and departments to specify their criteria accordingly attuned to the disciplinary considerations specific to their programs.
- **Establish a common structure for all personnel policy documents across campus.**

The Senate has approved a resolution (AS-859-18) establishing the general structure of the UFPP in the form of its main chapter divisions, each containing thematically unified selections of policy:

- 1. Preface**
- 2. Faculty Appointments**
- 3. Personnel Files**
- 4. Responsibilities in Faculty Evaluation Processes**
- 5. Evaluation Processes**
- 6. Evaluation Cycle Patterns**
- 7. Personnel Action Eligibility and Criteria**
- 8. Evaluation of Teaching and Professional Services**
- 9. Evaluation of Professional Development**
- 10. Evaluation of Service**
- 11. Governance**
- 12. Workload**
- 13. Appendices**

In replacing UFPA with UFPP FAC has proposed to the Senate individual chapters of UFPP, each covered by its own Senate resolution. A draft of one of these chapters follows in this document, preceded by a summary of its content, impact, and implementation.

FAC has consulted with the colleges, the library, and Counseling Services about this chapter. The proposed draft reflects significant revision to earlier drafts based on feedback from colleges (especially CENG), the library, and counseling services.

**Proposed Chapter of University Faculty Personnel Policies Document:  
CHAPTER 7: Personnel Actions Eligibility and Criteria**

**Summary of CHAPTER 7: Personnel Actions Eligibility and Criteria**

This chapter compiles existing policies concerning eligibility and criteria for personnel actions such as retention, tenure, promotion, and lecturer range elevation.

**Impact on Existing Policy**

This chapter establishes no new policy, but restates existing policy. The policies on personnel actions for probationary and tenured faculty are drawn from University Faculty Personnel Actions (UFPA). The policies on lecturer range elevation are drawn from an administrative memo on lecturer range elevation from 2016, and from AS-538-00/FAC which required colleges and faculty units to draft lecturer range elevation policies.

**Implementation**

*The establishment of UFPP by the Academic Senate obliges the Colleges and Library to restructure their faculty personnel policy documents into the same chapter division as UFPP.* When a chapter of UFPP is approved by the Academic Senate and ratified by the President, the Colleges and the Library will now have a focused area of new or revised policy that they must consult and, if necessary, use to revise their documents accordingly. Colleges and the library need to place any of their policies on faculty personnel actions into chapter 7 of their personnel policy documents by Spring 2020. They have known of this requirement since last academic year.

As these policies are currently in effect, and have been in effect at least since 2009 when UFPA was enacted, there is no implementation of policy by the Senate action of approving the inclusion of this chapter into UFPP. For AY 2019-2020 these policies reside in UFPP in an appendix containing UFPA. With the inclusion of the policies on personnel action eligibility and criteria in UFPP for AY 2020-2021, UFPA will be rendered obsolete and thus needs to be deleted from UFPA.

**What follows is the proposed text of the chapter...**

## **7. Personnel Action Eligibility and Criteria**

### **7.1. Summary**

- 7.1.1. This chapter covers the eligibility for faculty personnel actions, which consist of retention, promotion, tenure for tenure-track faculty, and range elevation for lecturer faculty. This chapter includes general principles according to which the colleges, library, and departments would specify the criteria warranting personnel actions. These criteria also guide the processes of periodic evaluations, including cumulative evaluations of lecturers for reappointment. Colleges and departments would expand greatly on these policies with their own criteria mindful of how the diversity of disciplines within the college manifest the teacher/scholar model. The library and other non-instructional faculty units would expand on these policies with their own criteria appropriate to the professional responsibilities of their faculty.
- 7.1.2. [CITATION OF FOUNDATIONAL SENATE ACTION].

### **7.2. Retention, Promotion and Tenure of Tenure-Track Faculty**

- 7.2.1. The quality of faculty performance is the most important element to consider in evaluating individual achievement. The degree of evidence will vary in accordance with the academic position being sought by the applicant.
- 7.2.2. Recommendations for retention, promotion, and tenure of instructional faculty are based on the exhibition of merit and ability in each of the following areas:
- Teaching performance
  - Professional development
  - Service
  - Other factors of consideration
- 7.2.2.1. Teaching effectiveness is the primary and essential criterion for the evaluation of tenure-line instructional faculty, however it alone is not sufficient for retention, promotion, and tenure.
- 7.2.2.2. The granting of tenure requires stronger evidence of worthiness than retention, and promotion to Professor requires a more rigorous application of criteria than promotion to Associate Professor.
- 7.2.3. Recommendations for retention, promotion, and tenure of library and non-instructional faculty are based on the exhibition of merit and ability in each of the following areas:
- Professional performance
  - Professional development
  - Service
  - Other factors of consideration
- 7.2.3.1. Professional performance is the primary and essential criterion for the evaluation of tenure-line librarian and non-instructional faculty, however it alone is not sufficient for retention, promotion, and tenure.
- 7.2.3.2. The granting of tenure requires stronger evidence of worthiness than retention, and promotion to Librarian requires a more rigorous application of criteria than promotion to Associate Librarian.
- 7.2.4. Recommendations for retention, promotion, and tenure of faculty may also include criteria set by colleges. Departments may also have additional criteria established in their approved personnel policy documents.
- 7.2.5. **Teaching Performance of Instructional Faculty**

- 7.2.5.1. In formulating recommendations for the retention, promotion, and tenure of teaching faculty, evaluators will place primary emphasis on success in instruction.
- 7.2.5.2. Evaluators shall consider such factors as the applicant's competence in the discipline, ability to communicate ideas effectively, versatility and appropriateness of teaching techniques, organization of courses, relevance of instruction to course objectives, methods of evaluating student achievement, relationship with students in class, effectiveness of student advising, and other factors relating to performance as an instructor.
- 7.2.5.3. In their personnel policy documents colleges shall specify how these factors enter into the evaluation of teaching. Colleges and departments may include additional factors in their personnel policies.
- 7.2.5.4. Evaluators shall consider results of the formal student evaluation in formulating recommendations based on teaching performance.

**7.2.6. Professional Performance of Librarians and Non-instructional Faculty**

- 7.2.6.1. In formulating recommendations on the retention, promotion, and tenure of librarians, evaluators shall place primary emphasis on effectiveness as a librarian as evaluated by colleagues and library users.
- 7.2.6.2. Evaluators shall consider such factors as furthering objectives of the library and the University by cooperating with fellow librarians; applying bibliographic techniques effectively to the acquisition, development, classification, and organization of library resources; initiating and carrying to conclusion projects within the library; demonstrating versatility, including the ability to work effectively in a range of library functions and subject areas; and supervisory and/or administrative abilities.
- 7.2.6.3. In their personnel policy documents the library shall specify how these factors enter into the evaluation of professional performance. The library may include additional factors in its personnel policies.
- 7.2.6.4. Evaluation of non-instructional faculty shall consider professional performance appropriate to the position of the faculty under evaluation.

**7.2.7. Professional Growth and Scholarly Achievement**

- 7.2.7.1. In formulating recommendations on the retention, promotion, and tenure of faculty, evaluators shall place emphasis on the professional growth and scholarly achievement of the applicant.
- 7.2.7.2. Evaluators shall consider such factors as the applicant's educational background and further academic training, related work experience and consulting practices, scholarly and creative achievements, participation in professional societies, publications, presentation of papers at professional and scholarly meetings, external validation, and peer review of scholarly and creative activities.
- 7.2.7.3. In their personnel policy documents colleges and the library shall specify how these factors enter into the evaluation of professional growth and scholarly achievement. Colleges and departments, and the library may include additional factors in their personnel policies.

**7.2.8. Service**

- 7.2.8.1. In formulating recommendations on the retention, promotion, and tenure of faculty, evaluators shall place emphasis on the service the applicant performs in relation to the university and the community.
- 7.2.8.2. Evaluators shall consider such factors as the applicant's participation in academic advisement; placement follow-up; co-curricular activities; membership of department, college, the Academic Senate and its committees, and University

committees; individual assignments; systemwide assignments; and, service in community affairs directly related to the applicant's teaching and/or research areas as distinguished from those contributions to more generalized community activities.

- 7.2.8.3. In their personnel policy documents colleges and the library shall specify how these factors enter into the evaluation of service. Colleges and departments, and the library may include additional factors in their personnel policies.

**7.2.9. Other factors of consideration**

- 7.2.9.1. In formulating recommendations on the retention, promotion, and tenure of faculty, evaluators shall place emphasis on collegiality (working collaboratively and productively with colleagues and participation in traditional academic functions); initiative; cooperativeness; and dependability.

- 7.2.9.2. In their personnel policy documents colleges and the library shall specify how these factors enter into the evaluation of other factors of consideration. Colleges and departments, and the library may include additional factors in their personnel policies.

**7.3. Retention Eligibility**

- 7.3.1. Performance reviews for the purpose of retention shall be in accordance with Articles 13 and 15 of the CBA.
- 7.3.2. It is the responsibility of applicants to provide sufficient evidence that they have fulfilled the criteria for retention.
- 7.3.3. The normal probationary period is six academic years of full-time probationary service (including any credit for prior service granted at the time of appointment).
- 7.3.4. Evaluation of probationary faculty involves a comprehensive assessment of performance during the entire probationary period with retention seen as leading to tenure.
- 7.3.5. Faculty who have not demonstrated the potential to achieve tenure should not be retained.
- 7.3.6. In the event of a non-retention decision, a probationary faculty employee who has served a minimum of three years of probation (including any credit for prior service) will be extended a terminal year of employment with no further appointment rights.

**7.4. Promotion Eligibility**

- 7.4.1. Promotion eligibility shall be governed by the terms of Article 14 of the CBA.
- 7.4.2. Promotion in rank is not automatic and is granted only in recognition of teaching competency or effectiveness as a librarian, professional growth and scholarly achievement, and meritorious service during the period in rank. The application of criteria will be more rigorous for promotion to Professor or Librarian than to Associate Professor or Associate Librarian.
- 7.4.3. Applicants for promotion to the academic rank of Professor or Librarian must be tenured or concurrently be granted tenure.
- 7.4.4. An application for promotion to Associate Professor or Associate Librarian is considered normal if the applicant is eligible and both of the following conditions hold:
- The applicant is tenured or the applicant is also eligible for and applying for normal tenure.
  - The applicant has completed at least the equivalent of four years in their academic rank at Cal Poly.
- 7.4.5. An application for promotion to Associate Professor or Associate Librarian is considered "early" if one of the following conditions holds:

- The applicant is a probationary faculty employee who is not in their sixth probationary year and is not eligible for normal tenure.
  - The applicant is a tenured faculty employee and has not satisfied the equivalent service requirements of at least four years in their academic rank at Cal Poly.
- 7.4.6. Early promotion will be granted only in exceptional cases. The circumstances and record of performance which make the case exceptional shall be fully documented by the applicant and validated by evaluators.
- 7.4.7. The fact that an applicant has reached the maximum salary in their academic rank or meets the performance criteria for promotion does not in itself constitute an exceptional case for early promotion.

#### **7.5. Tenure Eligibility**

- 7.5.1. Tenure eligibility shall be governed by the terms of Article 13 of the CBA.
- 7.5.2. Applicants for appointment with tenure shall normally be tenured professors or tenured librarians at other universities. Exceptions to this provision must be carefully documented. The President may award tenure to any individual, including one whose appointment and assignment is in a management position, at the time of appointment. Appointments with tenure shall be made only after an evaluation and recommendation by tenured faculty in the appropriate department. Possession of the doctorate or other designated terminal degree from an accredited institution is required for tenure.
- 7.5.3. Normal tenure is for applicants who have accrued credit for six academic years of full-time probationary service (including any credit for prior service granted at the time of appointment).
- 7.5.4. Early tenure is for applicants who have not yet achieved credit for six academic years of full-time probationary service (including any credit for prior service granted at the time of appointment).

#### **7.6. Tenure Criteria**

- 7.6.1. Tenure represents the University's long-term commitment to a faculty employee and is only granted when there is strong evidence that the individual who, by reason of their excellent performance and promise of long-range contribution as a teacher-scholar to the educational purpose of the institution, is deemed worthy of this important commitment. Tenure means the right of a faculty employee to continue at Cal Poly unless voluntarily terminated, terminated for cause, or laid off by factors governed by CBA 38.
- 7.6.2. Tenure decisions are considered more critical to the University than promotion decisions.
- 7.6.3. An applicant who does not have the potential for promotion to Associate Professor and Professor should not be granted tenure.
- 7.6.4. Retention is not a guarantee of tenure.
- 7.6.5. Tenure is not a guarantee of promotion.
- 7.6.6. Early promotion is not a guarantee of tenure.
- 7.6.7. An applicant for tenure must at least fully meet the requirements of their assignment and be making a valuable contribution to the university according to department, college or library criteria for tenure in each of the following performance areas:
- For instructional faculty: teaching, professional growth and scholarship, service, and other factors of consideration.
  - For librarian faculty: professional performance, professional growth and scholarship, service, and other factors of consideration.



- 7.6.8. An applicant for early tenure must meet department, college, or library criteria for normal tenure and provide evidence of exceptional performance in each of the following performance areas:
- For instructional faculty: teaching, professional growth and scholarship, service, and other factors of consideration.
  - For librarian faculty: professional performance, professional growth and scholarship, service, and other factors of consideration.
- 7.6.9. An applicant for early tenure should, at a minimum, receive a favorable majority vote from the department peer review committee.

**7.7. Lecturer Range Elevation Eligibility and Criteria**

- 7.7.1. Policies for lecturer range elevation are governed by CBA 12, and the memo "Amendments to the Range Elevation Procedures 2016." Cal Poly requirements about colleges and faculty units establishing their own lecturer range elevation criteria were established by AS-538-00/FAC, which is superseded by UFPP.
- 7.7.2. Colleges and faculty units shall establish range elevation criteria for temporary lecturer faculty. Faculty, including temporary lecturer faculty, shall formulate such policies.
- 7.7.3. The university shall notify lecturer faculty in a timely manner of their eligibility to be considered for range elevation.
- 7.7.4. Temporary lecturer faculty members shall submit requests to be elevated to a higher range according to the university timeline accompanying the notification of eligibility. Faculty members shall document the reasons for which they believe that they should be elevated in the materials submitted in their WPAF according to their college or faculty unit criteria for lecturer range elevation.

**7.8. Counseling Faculty Eligibility and Criteria**

- 7.8.1. Eligibility and criteria for counseling faculty with classification of Student Services Professional-Academic Related (SSPAR) shall be modeled after eligibility and criteria for lecturer faculty, and stated in their faculty unit policy document.